

FY '02 SMALL BUSINESS SUBCONTRACTING PLAN

CONTRACTOR: THE UNIVERSITY OF CHICAGO
(OPERATOR OF ARGONNE NATIONAL LABORATORY)

ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, ILLINOIS 60439-4873

CONTRACT NUMBER: W-31-109-ENG-38

ITEM/SERVICE: OPERATION OF MULTI-PURPOSE NATIONAL LABORATORY

TOTAL AMOUNT OF CONTRACT
(INCLUDING OPTIONS)

PERIOD OF CONTRACT PERFORMANCE 10/01/01 - 9/30/02
(DAY, MONTH, AND YEAR)

1. **TYPE OF PLAN** *(please check one)*



Individual Contract Plan - Individual Contract Plan, as used in this subpart, means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.



Master Plan - Master Plan, as used in this subpart, means a subcontracting plan that contains all of the required elements of the individual plans, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.



Commercial Products Plan - Commercial Plan, as used in this subpart, means a subcontracting plan that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division, plant, or product line). The contractor must provide a copy of the approved plan. ***NOTE: A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial items.***

2. **GOALS**

State separate dollar and percentage goals for Small, Small Disadvantaged, Women-Owned Small Business, HUBZone Small Business, Veteran-Owned Small Business, and Service Disabled Veteran-Owned Small Business concerns, as subcontractors.

- a. Total estimated dollar value of all planned subcontracting, i.e., with all types of concerns eligible for Small Business subcontracting under this contract is *\$105 million*.
- b. Total estimated dollar value and percent of planned subcontracting with small business concerns (includes Small Disadvantaged Businesses, Women-Owned Small Businesses, HUBZone Small Businesses, Veteran-Owned Small Business concerns, and Service Disabled Veteran-Owned Small Business concerns): (% of "a") *\$50,400,000 and 48%*
- c. Total estimated dollar value and percent of planned subcontracting with PRO-Net certified Small Disadvantaged Businesses: (% of "a") *\$5,250,000 and 5%*
- d. Total estimated dollar value and percent of planned subcontracting with Women-Owned Small Businesses: (% of "a") *\$5,250,000 and 5%*
- e. Total estimated dollar value and percent of planned subcontracting with HUBZone Small Businesses: (% of "a") *\$2,625,000 and 2.5%*

NOTE: This goal is predicated on SBA identifying viable HUBZone Small Business firms that are certified and located on PRO-Net.

- f. Total estimated dollar value and percent of planned subcontracting with Veteran-Owned Small Business: (% of "a") *\$3,150,000 and 3%*

NOTE: This goal is predicated on identifying an adequate number of viable Veteran-Owned Small Business concerns.

- g. Total estimated dollar value and percent of planned subcontracting with Service Disabled Veteran-Owned Small Business: (% of "a") *\$3,150,000 and 3%*

NOTE: This goal is predicated on identifying an adequate number of viable Service Disabled Veteran-Owned Small Business concerns.

- h. Total estimated dollar value and percent of planned subcontracting with LARGE BUSINESS: (% of "a") *\$54,600,000 and 52%*

Provide a description of all the products and/or services to be subcontracted under this contract, and indicate the types of businesses supplying them, [i.e., SMALL BUSINESS (SB), SMALL DISADVANTAGED BUSINESS (SDB), WOMEN-OWNED SMALL BUSINESS (WOSB), LARGE BUSINESS (LARGE), HUBZONE SMALL BUSINESS (HUBZ), VETERAN-OWNED SMALL BUSINESS (VOSB), and SERVICE DISABLED VETERAN-OWNED SMALL BUSINESS (SDV).

(Check all that apply)

<i>Subcontracted Product/Service</i>	<i>SB</i>	<i>SDB</i>	<i>WOSB</i>	<i>HUBZ</i>	<i>VOSB*</i>	<i>SDV*</i>	<i>LARGE</i>
ADP Maintenance	X	X	X	X			X
ADP Supplies	X	X	X	X			X
ADP Supplies (AMOS)	X	--	--				--
A-E Services	X	X	X				X
Automotive Equipment	X	--	X				--
Chemicals	X	X	X				--
Clothing	X	X	X				--
Clothing (Uniforms-AMOS)	X	--	--				--
Compression Fittings	X	X	X				--
Compression Fittings (AMOS)	X	--	--				--
Construction Contracting	X	X	X				X
Equipment	X	X	X				X
Furniture and Fixtures	X	X	X				X
Fabrications	X	X	X				X
Fire & Safety Equipment	X	X	X				--
Fuel Oil	X	X	X				--
Hardware and Small Tools	X	X	X	X			--
Hardware & Small Tools (AMOS)	X	--	--				--
Janitorial Supplies	X	X	X	X			--
Janitorial Supplies (AMOS)	--	X	--				--
Janitorial Chemicals (AMOS)	X	--	--				--
Laboratory Supplies	X	X	X				--
Laundry	X	X	X				--
Lubricants	X	X	X				--
Lumber & Building Materials	X	--	--				--
Lumber & Building Materials (AMOS)	X	--	--				--
Machine Tools	X	X	X				--
Material Handling Equipment	X	X	X				X
Material Handling Supplies	X	X	X				X
Material Handling Supplies (AMOS)	X	--	--				--
Office Supplies	X	X	X	X			--
Paints & Supplies	X	X	X				--
Photographic Supplies (AMOS)	X	--	--	X			--
Pipes & Fittings	X	X	X				--
Pipes & Fittings (AMOS)	X	--	--				--
Plumbing & Heating Supplies	X	X	X				--
Prototype Fabrication (Hardware)	X	X	X				--
Research and Development Support	X	X	X				X
Support Services	X	X	X				X

**NOTE: Veteran-Owned and Service Disabled Veteran-Owned Small Business opportunities are predicated on identifying an adequate number of viable Veteran-Owned and Service Disabled Veteran-Owned Small Business concerns.*

Awards greater than \$2,500 and less than \$100,000 to large business will include documentation, which supports the decision to award to other than small business. Preference will be given to small business awards for purchases of between \$2,500 and \$100,000 awarded through small purchase/simplified acquisition procedures, where there is a reasonable expectation that bids, competitive as to price, quality, and delivery will be obtained from two or more responsive small business concerns.

See paragraph 7.C. for documentation of awards to large business with a value of \$100,000 or more.

To further facilitate the Laboratory's Small Business Program, the Laboratory will, without further documentation to the file, and based upon its unilateral decision, utilize the option of making awards without competition: (1) under \$50,000 to small, women-owned small, and small disadvantaged business concerns; (2) for purchases valued at: (a) \$5 million or less for manufacturing standard classifications and \$3 million or less for all other acquisitions to registered Small Business Administration 8(a) Pilot Program firms; or (b) \$5 million or less for HUBZone small businesses within North American Industry Classification System (NAIC) codes for manufacturing and \$3 million or less for HUBZone small businesses within any other NAIC codes.

"HUBZone" firms will be evaluated in accordance with this plan and existing procurement practices.

- h. The following method was used in developing subcontract goals:
- 1) Small business goals were based on prior year's experience, perceived changes in the type of acquisitions to be completed, known increases and decreases in various program areas as reported by the various Laboratory divisions, projected construction projects, the DOE Acquisition Letter 2000-02 policy change that authorized purchases valued up to \$50,000 on a sole source basis to small business, the impact of Automated Material Order System (AMOS) in filling the needs of the Laboratory, consideration of certified HUBZone small business concerns, and the projected volume of acquisitions.
 - 2) Certified Small Disadvantaged Business (SDB) subcontracting activity was measured in terms of past annual dollar expenditures, percent of annual dollar purchases from SDB concerns, total number of SDB vendors doing business or desiring to do business with ANL, impact of AMOS contracts, use of FSS contracts, and a self-perception of the potential success of our SDBC program.

- 3) In similar manner the women-owned small business goal was determined based on last year's experience and our desire to meet the goal of 5% established by the government.
 - 4) HUBZone goals are contingent upon availability of viable certified concerns located primarily in the Chicago metropolitan area but considering others in the United States as well.
 - 5) Veteran-Owned and Service disabled veteran-owned small business opportunities are predicated on identifying an adequate number of viable Veteran-Owned or Service Disabled Veteran-Owned Small Business concerns.
- i. Indirect costs have been _____ / have not been X included in the dollar and percentage subcontracting goals stated above. (*Please check one.*)

3. **PROGRAM ADMINISTRATOR**

Name, title, and position within the Laboratory structure, and the duties and responsibilities of the employee who will manage the contractor's subcontracting program.

NAME: DENNIS E. BUGIELSKI
TITLE: *MANAGER, ANL PROCUREMENT*
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-7028

Name, title, and position within the Laboratory structure, and the duties and responsibilities of the employee who will manage the contractor's subcontracting program.

NAME: DIANA THOMPSON
TITLE: *SMALL BUSINESS LIAISON OFFICER*
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-6920

Duties: Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing subcontractor plans and monitoring performance relative to

the requirements of this particular plan. These duties include, but are not limited to, the following activities:

- a. Developing and promoting Laboratory-wide policy initiatives that demonstrate the Laboratory's support for awarding contracts and subcontracts to small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small business and assure that small business, small disadvantaged business, women-owned small business, HUBZone small business concerns and service disabled veteran-owned small businesses are included on the services they are capable of providing;
- b. Ensuring periodic rotation of potential subcontractors;
- c. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small businesses within Laboratory policies and procedures;
- d. Facilitating the utilization of various sources for the identification of small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small businesses such as the SBA's Procurement Marketing and Access Network, "PRO-Net", the National Minority Purchasing Council Vendor Information Service, the Office of Minority Business Data Center in the Department of Commerce, National Association of Women Business Owner Vendor Information Service, and the facilities of local small business, minority and women associations, and contact with federal agencies' small business program managers;
- e. Overseeing the establishment and maintenance of contract and subcontract award records;
- f. Attending or arranging for the attendance of Laboratory personnel at Small Business Opportunity Workshops, Minority and Women Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.;
- g. Ensuring small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small businesses are made aware of subcontracting opportunities as well as how to prepare responsive bids to the Laboratory;
- h. Conducting and arranging of training for Purchasing personnel regarding the intent and impact of Public Law 95-507 on purchasing procedures;
- i. Monitoring the Laboratory's performance and making any adjustments necessary to achieve the subcontract plan goals;

- j. Preparing and submitting required subcontract reports on a timely basis;
- k. Coordinating the Laboratory's activities during the conduct of compliance reviews by federal agencies;
- l. Reviewing solicitation formats to remove statements, clauses, etc., which may tend to restrict or prohibit small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small business concerns participation where possible;
- m. Ensuring that the reasons for not selecting low bids submitted by small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small businesses are documented;
- n. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity;
- o. Ensuring that historically Black colleges and universities and minority institutions shall be afforded maximum practicable opportunity;
- p. Assisting program managers as early as possible in the development cycle of major system acquisitions and system programs as pertains to the Small Business program; and
- q. Advising potential suppliers as to how they can obtain information about business opportunities at ANL and briefing the Procurement Manager and the Chief Financial Officer at least twice yearly concerning the status of small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small business utilization in relation to goals and objectives established.

4. **EQUITABLE OPPORTUNITY**

The contractor agrees to ensure that small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned Small business concerns, and service disabled veteran-owned small businesses will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:

- a. Outreach efforts to obtain sources
 - 1) Contacting small, small disadvantaged (minority) and women-owned small business, HUBZone small business, veteran-owned small business concerns, and service disabled veteran-owned small business trade associations, such as:

Chicago Minority Business Development Center
Black Contractors United
Hispanic American Construction Ind.
The Association of Asians Construction Enterprise
Cosmopolitan Chamber of Commerce
Construction Market Data Inc.
Contractors Assoc. of Will/Grundy Counties
F. W. Dodge Corporation
Construction Data Source
Independent Contractors Assoc. of Illinois
Chicago Minority Development Council, Inc.
Women Construction Owners & Executives

- 2) Contacting business development organizations (identify specific business development organizations).

~~/~~ U. S. Department of Commerce Minority Business Development Agency (MBDA);

- 3) Attending small, small disadvantaged (minority) and women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small business procurement conferences and trade fairs (to the extent known, identify specific procurement conferences and trade fairs and dates).

~~/~~ Chicago Business Opportunity Fair
~~/~~ NMSDC Conference and Business Opportunity Fair
~~/~~ Annual Joint Industry/SBA Procurement Conference
~~/~~ Minority Enterprise Development Week (MED WEEK)

- 4) Utilizing newspaper and magazine ads to encourage new sources when funds are available to do so.

b. Internal efforts to guide and encourage Purchasing personnel.

- 1) Presenting workshops and training programs;
- 2) Establishing, maintaining and using small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small business source lists, guides, and other data for soliciting subcontracts such as:

"TRY US" (A Directory of Small Disadvantaged Business Firms)
National Directory of Minority-Owned Business Firms (Sixth Edition)

Regional Directory of Minority and Women-Owned Business Firms (Central Edition)

The Chicago Black Pages Business Directory

Minority-Owned High Tech Businesses (Second Edition)

Greater Chicago Minority Vendors Directory

Illinois and Women Business Assistance Resource Directory

Minority Business Guide

Federal Suppliers Guide

- 3) Monitoring activities to evaluate compliance with the subcontracting plan(s).
- c. Small, small disadvantaged, women-owned small business, HUBZone, veteran-owned small business, and service disabled veteran-owned small business source lists, guides and other data identifying small, small disadvantaged, women-owned small business, HUBZone, veteran-owned small business, and service disabled veteran-owned small business concerns will be maintained and utilized by buyers/subcontract specialists in sourcing suppliers.

5. **FLOW-DOWN CLAUSE**

The contractor agrees to include the provisions under FAR 52.219-8 entitled, "Utilization of Small Business Concerns," in all subcontracts in excess of the small purchase limitations that offer further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts in excess of \$500,000 (\$1,000,000 for construction) of any public facility that offer further subcontracting opportunities must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan."

Such plans will be reviewed by comparing them with the provision of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small, small disadvantaged, women-owned small business, HUBZone small business subcontractors, veteran-owned small business, service disabled veteran-owned small businesses and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractor's facilities to review applicable records and subcontracting program progress.

6. **REPORTING AND COOPERATION**

The contractor gives assurance of (1) cooperation in any studies or surveys that may be required by the contracting agency or the Small Business Administration; (2) submission of periodic reports

which show compliance with the subcontracting plan; (3) submission of semi-annual reports to provide acquisition forecast data for subcontracting opportunities; (4) submission of Standard Form SF-294, "Subcontracting Report for Individual Contract," and SF-295, "Summary Subcontract Report," in accordance with the instructions on the forms; and (5) ensuring that large business subcontractors with subcontracting plans agree to submit Standard Forms 294 and 295.

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	SF-294	04/30
Apr 1 - Mar 30	SF-294	10/31
Oct 1 - Sept 30	SF-295	10/30

7. **RECORD KEEPING**

The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following:

- a. If the prime contractor is not using PRO-Net as its source for small business, small disadvantaged business, women-owned small business, HUBZone small business and service disabled veteran-owned small businesses concerns, list the names of guides and other data identifying such vendors (ANL utilizes PRO-Net as its source);
- b. Organizations contacted in an attempt to locate small business, small disadvantaged business, women-owned small business, HUBZone, and service disabled veteran-owned small business sources;
- c. On a contract-by-contract basis, records on all subcontract solicitations over \$100,000, which indicate for each solicitation (1) whether small business concerns were solicited, and, if not, why not; (2) whether HUBZone small business concerns were solicited, if not, why not; (3) whether small disadvantaged business concerns were solicited, if not, why not; (4) whether woman-owned small business concerns were solicited, and if not, why not; (5) whether veteran-owned small business or service disabled veteran-owned small business concerns were solicited, and if not, why not; and (6) the reason for the failure of solicited small, disadvantaged, woman-owned, HUBZone, veteran-owned small business, and service disabled veteran-owned small business concerns to receive the subcontract award;
- d. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- e. Records to support internal guidance and encouragement, provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities to evaluate compliance; and

- f. On a contract-by-contract basis, records to support subcontract award data including the name, address, and business size of each subcontractor.

This subcontracting plan was submitted by:

SIGNATURE: _____
TYPED NAME: Dennis E. Bugielski
TITLE: Manager, ANL Procurement
DATE PREPARED: SEPTEMBER 5, 2001 (REVISED NOVEMBER 14, 2001)
PHONE NO.: 630-252-7028

This subcontracting plan was accepted by:

APPROVAL: _____
AGENCY: _____
TYPED NAME: _____
TITLE: _____
DATE APPROVED: _____
PHONE NO.: _____